

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the Application of:)
)
 Saliba)
)
 Serial No.) **EXPRESS MAIL NO:**
) **EV 303 832 978 US**
 Filed: Herewith)
)
 For: Method and Apparatus for Stock Index) **DATE: February 25, 2004**
 Option Price Improvement, Participation,)
 and Internalization)
)
 Examiner: Patel, Jagdish)

 Group Art Unit: 3624

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, it is respectfully requested that the references listed in the attached PTO Form 1449 be considered in the examination of the above-identified patent application.

Pursuant to 37 CFR 1.98(d), copies of the references can be found in the file history of United States Application No. 09/621,769, filed July 21, 2000, from which the current application claims priority.

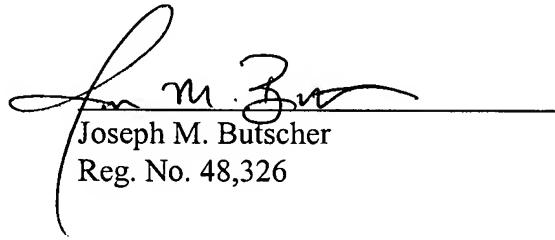
This submission, is in no way intended as an admission that the above-cited references constitute prior art under any subsection of 35 U.S.C. § 102. Applicant expressly retains the right to take any actions necessary to remove the above-cited references from the available prior art.

Consideration of the above-identified references in the examination of the present patent application is respectfully requested.

No fee is believed to be due because it is believed that this statement is being filed with the application. Please charge any fees due in connection with this statement to Deposit Account 13-0017.

Respectfully submitted,

Date: February 24, 2004



Joseph M. Butscher
Reg. No. 48,326

Form PTO-1449
(Rev. 8-83)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)ATTORNEY DOCKET
NO.

12778US03

SERIAL NO.

APPLICANT:
SalibaFILING DATE
HerewithGROUP
ART UNIT:
3624

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4,674,044	6/16/87	Kalmus et al.			
	5,038,284	8/6/91	Kramer			
	5,077,665	12/31/91	Sliverman et al.			
	5,101,353	3/31/92	Lupien et al.			
	5,136,501	8/4/92	Sliverman et al.			
	5,168,446	12/01/92	Wiseman			
	5,297,031	3/22/94	Guterman et al.			
	5,297,032	3/22/94	Trojan et al.			
	5,305,200	4/19/94	Hartheimer et al.			
	5,375,055	12/20/94	Togher et al.			
	5,689,652	11/18/97	Lupien et al.			
	5,724,524	3/3/98	Hunt et al.			
	5,727,165	3/10/98	Ordish et al.			
	5,758,328	5/26/98	Giovannoli			
	5,774,877	6/98	Patterson et al.			
	5,793,301	8/98	Patterson et al.			
	5,809,483	9/15/98	Broka et al.			
	5,884,286	3/16/99	Daugherty, III			
	5,915,245	6/22/99	Patterson, Jr. Et al.			
	5,950,176	9/7/99	Keiser et al.			
	6,016,483	1/18/00	Rickard et al.			
	6,321,212	11/01	Lange			
	6,493,682	12/02	Horrigan e tal.			
	6,539,362	3/25/03	Patterson, Jr. et al.			

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AA	Walker, Joseph A., "How the Options Markets Work," 1991, Chapter 6, Equity Options Strategies
BB	
CC	
EXAMINER	DATE CONSIDERED
*EXAMINER: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	